

LEVY & GRANDINETTI  
1725 K STREET, N.W., SUITE 408  
WASHINGTON, D.C. 20006-1419

TELEPHONE: (202) 429-4560  
FACSIMILE: (202) 429-4564  
E-MAIL: mail@levygrandinetti.com

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DATE: 1 Feb 06

YOUR REF: 101771, 780

TOTAL NUMBER OF PAGES: \_\_\_\_\_  
(including cover page)

OUR REF: 0095-UP-DIV-1

TO: Exr. R. Lee

FROM: Paul Grandinetti

MESSAGE: Enclosed is the IDS with  
the 1449s THAT we discussed  
this morning.

Thank you  
PG

OUR TELEPHONE NUMBER IS (202) 429-4560.

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**PATENT  
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants : DIMAIO et al.  
Appl. No. : 10/771,780 Examiner: Lee, Rip A.  
Filed : February 4, 2004 Art Unit: 1713  
For : PROCESS FOR THE OLIGOMERIZATION OF  $\alpha$ -OLEFINS  
HAVING LOW UNSATURATION, THE RESULTING  
POLYMERS, AND LUBRICANTS CONTAINING SAME  
Attorney Docket No.: 0095-UP-DIV-1 (UNI115US-B)

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Sir:

The Office Action of June 20, 2005, objected to the Information Disclosure Statement filed February 4, 2004, as not bearing the application number on each page of the list (Form 1449). The Form 1449s were filed simultaneously with the application before the serial number was assigned.

The Notice of Allowance states that the revised Information Disclosure Statement may be submitted prior to the payment of the Issue Fee. Therefore, the applicants resubmit the same lists of citations designated 1 of 7 through 7 of 7 at this time. The applicants also submit an additional Form 1449 identifying U.S. Patent Number 5,635,573 to Herrington et al. The '573 patent is also a "Reference Cited" on the applicants' parent application, now U.S. Patent Number 6,713,582.

The applicants thank the Examiner for his assistance in this matter. Entry of the lists is requested.

## Information Disclosure Statement

DIMAIO et al.

U.S.S.N. 10/771,780

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Listed on the accompanying Form PTO-1449 are documents that may be considered material to the examination of this application and are submitted in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97, and 1.98.

Where the publication date of a listed document does not provide a month of publication, the year of publication of the listed document is sufficiently earlier than the effective U.S. filing date and any foreign priority date so that the month of publication is not in issue.

The applicants reserve the right to establish the patentability of the claimed invention over any of the information provided by this statement, to prove that the enclosed information is not prior art, and/or to prove that this information is not enabling for the teachings purportedly offered.

This statement should not be construed as a representation that an exhaustive search has been made or that there does not exist information more material to the examination of the present patent application. The Examiner is specifically requested not to rely solely on the material submitted with this statement.

The applicants request that the examiner initial and return a copy of the enclosed Form PTO-1449 and indicate in the official file history of this patent application that the documents have been considered.

Information Disclosure Statement  
DIMAIO et al.  
U.S.S.N. 10/771,780  
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No fee for this Information Disclosure Statement is believed to be due because the Statement was filed concurrently with the divisional application. This Statement merely overcomes technical objection to the form of the original 1449s. However, the U.S. Patent and Trademark Office is authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 23-2656.

31 JAN 2006  
Date

Michael P. Dilworth Reg. No. 30,754  
For Michael P. Dilworth  
Registration No. 37,311

CHEMTURA CORPORATION  
Benson Road  
Middlebury, Connecticut 06749  
  
(203) 573-2000

FEB 01 2006

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FORM PTO-1449 INFORMATION DISCLOSURE STATEMENT		ATTY. DOCKET NO. 0095-UP-DIV-1		APPLICATION NO. 10/771,780	
		APPLICANTS DIMAIO et al.			
		FILING DATE Feb. 4, 2004		GROUP 1713	

  

U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA1	5,087,677	Feb. 11, 1992	Brekner et al.	526	160	Jul. 5, 1990
	AB1	5,324,801	June. 28, 1994	Brekner et al.	526	160	Aug. 9, 1993
	AC1	5,359,001	Oct. 25, 1994	Epple et al.	525	97	Apr. 20, 1993
	AD1	5,371,158	Dec. 6, 1994	Brekner et al.	526	127	Jul. 2, 1993
	AE1	5,677,405	Oct. 14, 1997	Goodall et al.	526	281	May 24, 1995
	AF1	5,990,254	Nov. 23, 1999	weller et al.	526	160	Dec. 26, 1996

  

FOREIGN PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL1	99/67347		WO			Yes No
	AM1	0694567 A2		EP			Yes No
	AN1	0661310 B1		EP			Yes No
	AO1	0683797 B1		EP			Yes No
	AP1	0661308 B1		EP			Yes No

  

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)		
AR	1	Kaminsky et al., Studies in Surface Science and Catalysts, 1989, Polymerization of Cyclic Olefins with Homogeneous Catalysts, pages 425-438.
AS	1	Kaminsky et al., Makromol. Chem., Macromol. Symp 47, 83-93 (1991).
AT	1	Kaminsky, Polymerization and Copolymerization of Olefins with Metallocene/Aluminoxand Catalysts, Vol. 33, No. 8, 1991, pages 536-544.

  

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

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FORM PTO-1449 <u>INFORMATION DISCLOSURE STATEMENT</u>				ATTY. DOCKET NO. 0095-UP-DIV-1		APPLICATION NO. 10/771,780	
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U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA1						
	AB1						
	AC1						
	AD1						
	AE1						
	AF1						
FOREIGN PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL1	0503422 B1		EP			Yes No
	AM1	0501370 B1		EP			Yes No
	AN1	0407870 B1		EP			Yes No
	AO1	0693568 A1		EP			Yes No
	AP1	0485893 B1		EP			Yes No
OTHER (Including Author, Title, Date, Pertinent Pages, etc.)							
	AR	1	Kaminsky et al, Stereospecific Polymerization by Metallocene/Aluminoxane Catalysts, Journal of Molecular Catalysis, 74 (1992) 109-119.				
	AS	1	Cherdron et al., Cycloolefin-Copolymere: Eine neue Klasse transparenter Thermoplaste, Die Angewandte Makromolekulare Chemie 223 (1994), 121-133 (4011).				
	AT	1	Janiak et al., Metal Catalysts for the Vinyl Polymerization of Norbornene, Journal of Molecular Catalysis A: Chemical 166 (2001) 193-209.				
EXAMINER						DATE CONSIDERED	
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## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA1						
	AB1						
	AC1						
	AD1						
	AE1						
	AF1						

## FOREIGN PATENT DOCUMENTS

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	AL1						Yes No
	AM1						Yes No
	AN1						Yes No
	AO1						Yes No
	AP1						Yes No

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

AR	1	Kaminsky et al., A Tailor-Made Metallocene for the Copolymerization of Ethene with Bulky Cycloalkenes, Angew. Chem. Int. Ed. Engl. 1995, 34, No. 20, pps. 2273-2275.
AS	1	Janiak et al., The Vinyl Homopolymerization of Norbornene, Macromol. Rapid Commun. 2001, 22, 479-492.
AT	1	Brintzinger et al., Stereospecific Olefin Polymerization with chiral Metallocene Catalysts, Angew. Chem. Int. Ed. Engl. 1995, 34, 1143-1170.

EXAMINER	DATE CONSIDERED
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FORM PTO-1449 <u>INFORMATION DISCLOSURE STATEMENT</u>	ATTY. DOCKET NO. 0095-UP	APPLICATION NO. 10/771,780
	APPLICANTS DIMAIO et al.	
	FILING DATE Feb. 4, 2004	GROUP 1713

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA1						
	AB1						
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	AL1						Yes No
	AM1						Yes No
	AN1						Yes No
	AO1						Yes No
	AP1						Yes No

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	<u>1</u>	Kaminsky, New Polymers by Metallocene Catalysis, Macromol. Chem. Phys. 197, 3907-39
	AS	<u>1</u>	Kaminsky et al., Homo-and Copolymerization of Cycloolefins by Metallocene Catalysts based Polyolefins, Vol. 2, 2000, pp. 91-113.
	AT	<u>1</u>	Ruchatz et al., Ethene-Norbornene Copolymerization, Macromolecules, Vol. 31, No. 15, pp. 4669-4673.

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw 1 if citation is not in conformance and not considered. Include copy of this form with next communication to App



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FORM PTO-1449 <u>INFORMATION DISCLOSURE STATEMENT</u>		ATTY. DOCKET NO. 0095-UP-DIV-1		APPLICATION NO. 10/771,780			
		APPLICANTS DIMAJO et al.					
		FILING DATE Feb. 4, 2004		GROUP 1713			
U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA1						
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	AF1						
FOREIGN PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL1						Yes No
	AM1						Yes No
	AN1						Yes No
	AO1						Yes No
	AP1						Yes No
OTHER (Including Author, Title, Date, Pertinent Pages, etc.)							
	AR	1	Ruchatz et al. Ethene-Norbornene Copolymerization, Macromolecules 1998, 31, 4674-4680.				
	AS	1	Ruchatz et al., Ethene-Norbornene Copolymerization, Macromolecules 1998, 31, 4681-4683.				
	AT	1	Ruchatz et al., Ethene-Norbornene Copolymerization, Macromolecules 1998, 31, 4684-4686.				
EXAMINER					DATE CONSIDERED		
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.							

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FORM PTO-1449 <u>INFORMATION DISCLOSURE STATEMENT</u>		ATTY. DOCKET NO. 0095-UP		APPLICATION NO. 10/771,780			
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<b>U.S. PATENT DOCUMENTS</b>							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA1						
	AB1						
	AC1						
	AD1						
	AE1						
	AF1						
<b>FOREIGN PATENT DOCUMENTS</b>							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL1						Yes No
	AM1						Yes No
	AN1						Yes No
	AO1						Yes No
	AP1						Yes No
<b>OTHER (Including Author, Title, Date, Pertinent Pages, etc.)</b>							
	AR	<u>1</u>	McKnight et al., Ethylene/Norbornene Copolymerizations with Titanium CpA Catalysts, Macromolecules 1999, 31, 2816-2825.				
	AS	<u>1</u>	Arndt-Rosenau et al., Microstructure of Ethene/Norbornene Copolymers, Macromolecules 22, 7335-7343.				
	AT	<u>1</u>	Grassi et al., Synthesis of Ethylene-co-Norbornene Polymers Promoted by MAO Free Cat on Group 4 Dicarbolide Complexes, Macromol. Chem. Phys. 2001, 1239-1245.				
EXAMINER					DATE CONSIDERED		
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw 11 citation if not in conformance and not considered. Include copy of this form with next communication to Appl							

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FORM PTO-1449 <u>INFORMATION DISCLOSURE STATEMENT</u>	ATTY. DOCKET NO. 0095-UP-DIV-1	APPLICATION NO. 10/771,780
	APPLICANTS DIMAIO et al.	
	FILING DATE Feb. 9, 2004	GROUP 1713

U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA1						
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	AD1						
	AE1						
	AF1						

FOREIGN PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL1						Yes No
	AM1						Yes No
	AN1						Yes No
	AO1						Yes No
	AP1						Yes No

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

AR	1	Peucker et al., Vinylic Polymerization and Copolymerization of Norbornene and Ethene by Homogeneous Chromium (III) Catalysts, Macromol. Chem. Phys. 2001, 202, 1289-1297.
AS	1	
AT	1	

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U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA1	5,635,573	6/1997	Harrington et al.	526	170	Mar. 29, 1995
	AB1						
	AC1						
	AD1						
	AE1						
	AF1						
FOREIGN PATENT DOCUMENTS							
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	AL1						Yes No
	AM1						Yes No
	AN1						Yes No
	AO1						Yes No
	AP1						Yes No
OTHER (Including Author, Title, Date, Pertinent Pages, etc.)							
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	AS	1					
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EXAMINER					DATE CONSIDERED		
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